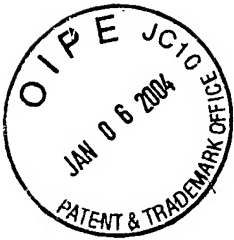


01-07-04



PATENT
020420

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Seaman, et al.

Serial No.: 10/631,243

Filing Date: July 31, 2003

METHODS AND SYSTEMS FOR
PROCESSING AND MANAGING
CORPORATE ACTION INFORMATION

INFORMATION DISCLOSURE STATEMENT

January 6, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Commissioner:

Applicants, in accordance with the duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advise the United States Patent and Trademark Office of the references listed on the accompanying form PTO/SB/08A *Information Disclosure Statement by Applicant* (Substitute for Form-1449A/PTO). Copies of the references cited therein are enclosed.

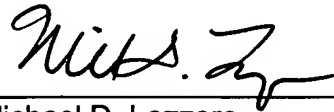
Applicants note that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97(h), the filing of this

Express Mail Number EU990146540US
Date of Deposit January 6, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

Information Disclosure Statement by Applicant "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b)."

Respectfully submitted,

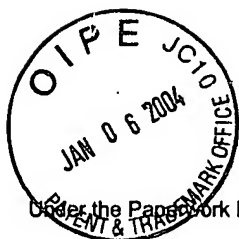
A handwritten signature in black ink, appearing to read "M.D. Lazzara", written over a horizontal line.

Michael D. Lazzara
Reg. No. 41,142

Attorney for Applicants

KIRKPATRICK & LOCKHART LLP
Henry W. Oliver Building
535 Smithfield Street
Pittsburgh, Pennsylvania 15222-2312

Telephone: (412) 355-8994
Facsimile: (412) 355-6501
E-mail: mlazzara@kl.com



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 1 of 3				Complete if Known	
				Application Number	10/631,243
				Filing Date	July 31, 2003
				First Named Inventor	Seaman
				Art Unit	
				Examiner Name	
				Attorney Docket Number	020420

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US 2002/0032642 A1	03-14-2002	Chichilnisky	
		US 2002/0065752 A1	05-30-2002	Lewis	

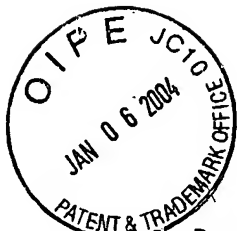
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, -0226540.0131



PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 2 of 3		Complete if Known	
		Application Number	10/631,243
		Filing Date	July 31, 2003
		First Named Inventor	Seaman
		Art Unit	
		Examiner Name	
		Attorney Docket Number	020420

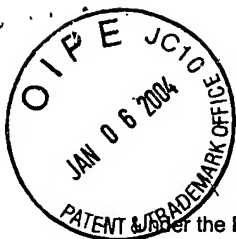
NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		"Xcitek offers Exchange Data International data via Xcitek.com," printed from http://www.exchange-data.com/products/press/xcitek.asp Internet site, accessed on 6/28/2002, 3 pages.	
		"Corporate Actions Processing System," printed from http://www.exchange-data.com/products/corpactprocess.asp Internet site, accessed on 6/28/2002, 5 pages.	
		CRISTINA McEACHERN, "Raymond James Signs With Xcitek For Corporate Actions Processing," Wall Street & Technology Magazine, printed from http://www.wallstreetandtech.com/story/mag/WST20010514S0011 Internet site, accessed on 6/27/2002, 2 pages.	
		"eActions: A Unique and Exciting Corporate Actions Notification Service," printed from http://www.eactions.hubdata.com/ Internet site, accessed on 6/27/2002, 1 page.	
		"Meeting the Needs of Growing Advisors," printed from http://www.eactions.hubdata.com/info.asp Internet site, accessed on 6/27/2002, 2 pages.	
		"Frequently Asked Questions," printed from http://www.eactions.hubdata.com/faq.asp Internet site, accessed on 6/27/2002, 2 pages.	
		"CAMS Corporate Actions Management System," printed from http://www.efsols.com/statichtml/camspg.html Internet site, accessed on 6/11/2002, 1 page.	
		"Sponsors," printed from http://www.sia.com/ops2002/html/sponsors.html , Internet site, accessed on 7/1/2002, 10 pages.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 3 of 3		Complete if Known	
		Application Number	10/631,243
		Filing Date	July 31, 2003
		First Named Inventor	Seaman
		Art Unit	
		Examiner Name	
		Attorney Docket Number	020420

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		XCITEK CONSULTING SERVICES, INC., "System Features & Functionality," September 1996, New York, NY, 17 pages.	
		XCITEK and SOLUTIONS PLUS, "The Xcitek Solutions Plus Corporate Actions Processing Application, System Features & Functionality," March 1999, New York, NY, 32 pages.	
		"Xcitek Update," Summer 1996, 1 page.	
		"Now You Can Take Complete Control of all Corporate Actions Plus Provide Proper Notification to Your Clients," Solutionsplus, 1 page.	
		United States Patent Application No. 10/631,165, filed July 31, 2003. (Attorney Docket No. 020673)	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.